
1982 Composers Program

- Complete and return this card with application.

Organizations should complete the top section only. Individuals should complete all three sections.

Please address the reverse side of this card to yourself. This is to acknowledge receipt of your application to the National Endowment for the Arts.

In all future inquiries please refer to your application number which is:

A-81-136838

JAN 21 1981

Application number—Arts Endowment Use Only

Date

National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506

Official Business

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National Endowment
for the Arts



Pauline Oliveros
1602 Burgundy Rd.
Leucadia, CA 92024

**Music/
Composers**
Individual Grant Application Form NEA-2 (Rev.)

Applications must be submitted in triplicate and mailed to: Grants Office/COMP,
National Endowment for the Arts, 2401 E Street, N.W., Washington, D.C. 20506

1. Name (last, first, middle initial) Oliveros, Pauline	4. Category under which support is requested: <input checked="" type="checkbox"/> Composers Fellowships <input type="checkbox"/> Collaborative Fellowships	
2. Present mailing address/phone 1602 Burgundy Rd. Leucadia, California 92024 714 753 7400	5. U.S. Citizenship <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (Visa Number: _____)	6. Professional field or discipline: <u>Music Composition</u>
3. Permanent mailing address/phone Same	7. <u>5-30-32</u> Birth date <u>Houston, Texas</u> Place of birth	8. Period of support requested: Starting <u>11-1-81</u> month day year Ending <u>11-1-82</u> month day year
9. Description of proposed activity (Complete in space provided. DO NOT continue on additional pages.) <p>Funds are requested to support the composition of a large cycle of ceremonial works specifically relating to the celebration or commemoration of major life events such as birth, puberty, graduation, marriage, death and etc. These works would be scaled to accomodate different circumstances as follows; 1) Large or small groups of Professional musicians and singers. (Large orchestra and chorus and/or smaller chamber ensembles, choruses and soloists. 2) Professional musicians and singers in conjunction with untrained performers or participants, in large and smaller groupings. 3) Untrained performers or participants. It is anticipated that 1) would be a series of works each of which could be played separately or together as concert pieces for orchestra and/or chorus or chamber ensembles as appropriate, or utilized in specific ceremonial occasions; 2) would be a series of works intended only for specific ceremonial occasions; 3) would be a series of works to be performed only by the participants involved directly and intimately in the ceremonial occasion. This cycle of works will take several years to complete.</p>		
10. Amount requested from National Endowment for the Arts: \$ <u>15,000</u> Allocated as follows: Time \$ <u>12,000</u> Materials \$ <u>3,000</u> Travel \$ _____		
11. Career summary or background (Complete in space provided. Resumes should be sent only as supplemental material.) Began composing as a student at the U of Houston 1951. Free lance work in San Francisco from 1952 to 1967. Was a composer member of the San Francisco Tape Music Center 1960-1967. Became The first director of the Mills Tape Music Center (now the Center for Contemporary Music at Mills College) Won Pacifica Foundation award for Variations for Sextet in 1961, Gaudeamus Foundation Award for Sound Patterns for Mixed Chorus in 1962. Commissions include Theater Piece for Trombone Player for Stuart DEMPSTER, In Memoriam Nikola Tesla: Cosmic Engineer for Merce Cunningham's Canfield, Crow Two for the Creative Associates at SUNY in Buffalo, Rose Moon for the Wesleyan Singers at Connecticut Wesleyan, Meditation on the Points of the Compass for the Chorus at Illinois Wesleyan, and others. Recordings include Sound Patterns on Odyssey and Ars Nova, I of IV on Odyssey. Currently Professor of Music UC San Diego. (See Resume)		

12. Education 2

Name of institution	Major area of study	Inclusive dates	Degree
U of Houston	Music	1949-52	
San Francisco State	Music	1953-57	BA

13. Fellowships or grants previously awarded

Name of award	Area of study	Inclusive dates	Amount
Guggenheim	Music Composition	1973-74	\$10,0000
NEA via SUNY Buffalo	for Crow	1974	\$ 5,000
Stadt Bonn, Germany	for Bonn FEier	1977	DM8000

14. Present employment Professor UC San Diego

Employer	Position/Occupation	Salary
U of California at San Diego	Professor	\$26,000

15. Prizes/Honors received	Membership professional societies
Research Board 1980 for MS	ASCAP
" " " " 1979 Musical Attention	Institute for the Study of Attention
EAT for Music Expo 70 Osaka	Experimental Intermedia Foundation

16. Certification: I certify that the foregoing statements are true and complete to the best of my knowledge.

x Pauline Oliveira 1-17-81
 Signature of applicant Date

Privacy Act
 The Privacy Act of 1974 requires us to furnish you with the following information:
 The Endowment is authorized to solicit the requested information by Section 5 of the National Foundation on the Arts and the Humanities Act of 1965, as amended. The information is used for grant processing, statistical research, analysis of trends, and for congressional oversight hearings. Failure to provide the requested information could result in rejection of your application.

STATEMENT

At this time (1-17-81) no other grants or fellowships have been applied for.

In 1974 I received 5000 dollars from the NEA through SUNY Buffalo for the composition of Crow. Crow was completed and performed by the Creative Associates at the Albright Knox Gallery in Buffalo October 1974. A report was filed by Renee Levine for the Center for Creative and Performing Arts. to the NEA.

In 1977 I received 2500 Dollars from the NEA through The Experimental Intermedia Foundation in New York City for the composition of The Yellow River Map a collaboration with choreographer Al Chung Liang Huang. The Yellow River Map was completed and performed in October 1977 at Pacem In Terris, Warwick , New York under the auspices of the EIF. A report was filed by Elaine Summers, Director of EIF.

Pauline Oliveros

**National
Endowment
for the Arts**



**Application
Guidelines
Fiscal Year
1982**

**Fellowships
Commissioning
Centers
Services**

82 **Composers**

Centers for New Music Resources

Application Calendar

Grant Category	Deadline	Announcement of Grant Award or Rejection	Earliest Project Beginning Date
Fellowships	Jan. 21, 1981	Oct. 1981	Nov. 1, 1981
Consortium Commissioning	Jan. 21, 1981	Oct. 1981	Nov. 1, 1981
Centers for New Music Resources	June 9, 1981	Jan. 1982	June 1, 1982
Services to Composers	June 9, 1981	Jan. 1982	June 1, 1982

Preface

The National Endowment for the Arts, an independent agency of the federal government, was created in 1965 to encourage and assist the nation's cultural resources. The Endowment is advised by the National Council on the Arts, a presidentially appointed body composed of the Chairman of the Endowment and 26 distinguished private citizens who are widely recognized for their expertise or interest in the arts. The Council advises the Endowment on policies, procedures, and programs, in addition to making recommendations on grant applications.

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Statement of the National Council on the Arts on Goals and Basic Policy of the National Endowment for the Arts

This statement of the goal of the National Endowment for the Arts, its role and responsibilities in the artistic life of the nation, is rooted in certain fundamental convictions.

These include the belief that there is a response to the world which may be termed aesthetic awareness, a distinctive perception of the aesthetic dimension of our physical and social environment.

This perception is unique to humankind and has existed as a fundamental part of all human societies from the earliest times. It is through the various arts that this perception of the world is sharpened, enlivened, expressed, and developed as a celebration of life in all its forms.

Cultivation of this awareness is a societal good as it quickens the experience of life and enhances its quality. Thus, the condition of the arts is an appropriate concern of the people and hence a proper concern of government. In recognition of this fact, the National Endowment for the Arts was created.

It is not the intention of this statement to define "art." The term is to be understood in its broadest sense; that is, with full cognizance of the pluralistic nature of the arts in America, with a deliberate decision to disclaim any endorsement of an "official" art and with a full commitment to artistic freedom.

The goal of the Endowment is the fostering of professional excellence of the arts in America, to nurture and sustain them, and equally to help create a climate in which they may flourish so they may be experienced and enjoyed by the widest possible public.

Within this goal there are five basic policies which include the following:

I. Individual Creativity and Excellence

To foster creative effort by individual artists:

- A. through support for individuals, including non-institutional ensembles, of high artistic talent and demonstrated commitment to their field within the arts;
- B. through support of training and development of individual artists.

II. Institutional Creativity and Excellence

To foster creative effort and the development of excellence in the arts in America:

- A. through support of institutions for projects and productions of substantial artistic significance, originality, and imagination;
 - B. through development of staff resources and through support of service organizations that provide technical and informational assistance to artists and institutions for the pursuit and achievement of standards of professional excellence in the arts.
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**Statement of the
National Council on the Arts on
Goals and Basic Policy of the
National Endowment for the Arts,
continued**

III. The Living Heritage

To preserve the artistic birthright of present and future generations of Americans by supporting survival of the best of all art forms which reflect the American heritage in its full range of cultural and ethnic diversity.

IV. Making the Arts Available

To insure that all Americans have a true opportunity to make an informed, an educated choice to have the arts of high quality touch their lives so that no person is deprived of access to the arts by reason of:

- Geography
- Inadequate income
- Inadequate education
- Physical or mental handicaps
- Social or cultural patterns unresponsive to diverse ethnic group needs.

V. Leadership in the Arts

With responsiveness to the needs of the field, to provide leadership on behalf of the arts:

- A. through advocacy and cooperation with other governmental agencies, on all matters relating to the arts;
- B. through advocacy with private institutions to stimulate increasing support for the arts from the private sector;
- C. through exploration of effective ways in which the arts may be used to achieve desirable social ends;
- D. through enlargement of the public's knowledge, understanding, and appreciation of the arts.

In carrying out these policies, reliance on the tested principle of review by peer panels is critical. To draw upon the judgment and experience of individual artists and other professionals in the arts—particularly those on the National Council, its committees, and the Endowment panels—is essential to establishing policies and making informed decisions in support of the arts.

The principle that financial support from the Endowment be matched by non-federal monies is also central to the manner in which these policies are carried out. While strongly affirming the value of the matching principle, the Endowment should give careful attention to the needs of developing arts groups of special merit which may not be able initially to adhere fully to the matching principle but are otherwise deemed worthy of support.

Information about the Endowment and its programs is contained in the Endowment's *Guide to Programs* which is available from:

Information Office
National Endowment for the Arts
7th Floor, West Wing
2401 E Street, N.W.
Washington, D.C. 20506

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Introduction

The Music Program assists creative and performing artists of exceptional talent. The program also awards grants to music performing, presenting, and service organizations.

This booklet contains application guidelines for composers, librettists, other individuals working with composers, and organizations which commission or assist composers. Composers and their collaborators may also receive assistance under the Opera-Musical Theater Program. Jazz composers may receive assistance under the Jazz Program. For information on these and other programs of interest, see page 16.

These guidelines have been revised and contain a new category for Consortium Commissioning. Please read them carefully.

We Fund

- Composers.
- Librettists.
- Other creative artists working with composers, such as choreographers and filmmakers.
- Consortia of performing organizations for the commissioning of new American works.
- Centers for new music resources, such as electronic music studios and computer centers.
- Organizations that provide services to composers.

We Do Not Fund

- Production costs associated with individual fellowships.
- Fees for arrangers or orchestrators.
- Costs of commercial recording or publication. (See "Other Programs of Interest/Music Recording" on page 16.)
- Competitions.
- Work toward academic degrees.
- Building or renovation of facilities.
- General operating expenses for organizations.
- Foreign travel. (This limitation does not prohibit a fellowship recipient from working outside the United States during the fellowship period. Foreign travel expenses, however, may not be paid with Endowment funds.)

Individuals usually will not receive fellowships in consecutive years, or on a continuing basis.

Important Information

Please look through this booklet carefully for the category best suited to your needs. *Individuals may submit one application in one Composers Fellowship category only.* Grants are made only to U.S. citizens or permanent residents of the United States.

If you decide to apply for a grant, the "How to Apply" section for your category outlines the supporting materials you will need to send with your completed application form. Do not send these materials separately. You may apply for support of more than one project on the same application form. After your application is received, it will be reviewed according to the process described on page 6.

The funding categories described in these guidelines are designed to be as flexible as possible. If you have questions or need help with your application, call or write us. We can be reached at:

Music Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-6390

Except in the case of Consortium Commissioning, grants to organizations may be used to pay no more than half the cost of any project. The required matching funds should come from cash contributions, non-Endowment grants, or earned income (such as box office receipts). In-kind contributions (such as donated space, supplies, or services) may not exceed 25 percent of the total project cost.

Grants for Consortium Commissioning may be made on a non-matching basis.

Deadline and Announcement Dates

Fellowships and Consortium Commissioning:

Applications must be postmarked no later than January 21, 1981 for projects beginning between November 1, 1981 and October 31, 1982. Do not expect notification of grant awards or rejections before October 1981. The proposed period of support generally should not exceed one year.

Centers for New Music Resources and Services to Composers:

Applications must be postmarked no later than June 9, 1981 for projects beginning between June 1, 1982 and May 31, 1983. Do not expect notification of grant awards or rejections before January 1982. The proposed period of support generally should not exceed one year.

Final Reports

At the end of the grant period, the Endowment requires final reports from all grantees. If you receive a grant, complete instructions on final reporting will accompany the grant letter. Applicants with overdue final reports on previous Endowment grants must submit them by the application deadline.

Final reports on fellowships must include:

- A narrative describing what was done during the period of support.
- A copy of the completed work.
- A recording of the work, if possible.
- Performance, publication, and recording plans for the completed work, where applicable.

Final reports on fellowships are reviewed by the Arts Endowment and sent to the Composer/Librettist Program Collection at the American Music Center.

American Music Center

The National Endowment for the Arts Composer/Librettist Program Collection located at the American Music Center contains scores, librettos, recordings, biographical information, and documents relating to the works written by recipients of Endowment fellowships. These materials may be studied by performers, conductors, and other interested musicians. A catalogue of the materials is available without charge from:

American Music Center
250 West 54th Street, Room 300
New York, New York 10019
212/247-3121

After applications are received, they are checked for completeness by the Music Program staff. They are then reviewed by advisory panelists in music and other relevant fields.

Following panel review, the National Council on the Arts makes recommendations to the Chairman of the National Endowment for the Arts for final decision. Applicants are then notified.

Information regarding action taken on applications cannot be made public until after the Panel and the Council have made their recommendations and the Chairman has reached a decision. You will be notified of the action on your request according to the Application Calendar on the inside front cover of these guidelines. Please do not seek information on the status of your request.

After an applicant receives a grant award letter, the grantee may request full or partial payment, depending on the nature and schedule of the project.

All inquiries about grants and application procedures should be directed to the Music Program.

Fellowships

Individuals may submit one application in one fellowship category only. Fellowships are made on a non-matching basis. Because funds are limited, fellowship amounts generally will be less than the maximum stated under each category of support.

Composers Fellowships

Fellowships are available to individual composers for the creation or completion of musical works or for research related to one's own creative activity. Fellowships of up to \$15,000 may be used to pay for:

- The composer's time.
- Costs of copying and reproducing scores and parts.
- Studio expenses, when the composer works at an established electronic or experimental facility.
- Other expenses directly related to one's own creative activity.

Composers requesting support for collaborative projects should apply for Collaborative Fellowships.

Special Application Requirements

All individual fellowship applicants should apply for \$15,000. Fellowships will be awarded at various levels up to \$15,000 depending on the quality and scope of the project.

Collaborative Fellowships

Fellowships of up to \$15,000 are available to composers and to their collaborators such as librettists, video artists, filmmakers, poets, and choreographers for the creation or completion of collaborative works. One or more partners in a collaboration may each apply individually for a fellowship. The total amount of money available for a collaboration, regardless of the number of participants, generally will not exceed \$30,000. The level of funding for individuals involved in the same collaboration may vary.

Fellowships may be used to pay for:

- The individual's time.
- Copying and reproduction costs.
- Studio expenses, when the individual works at an established electronic or experimental facility.
- Other necessary expenses.

Special Application Requirements

Each member of a collaboration who wishes to be considered for funding must submit a separate application. On the Individual Grant Application form, under "Description of proposed activity," indicate with whom you will be working, and whether or not your collaborator or collaborators are also applying for support. If your collaborator is not applying for a fellowship, include with your application a letter from him or her agreeing to the collaboration and at least one sample of his or her work. Instructions for submitting samples of work appear on page 9.

Please send the materials outlined below by January 21, 1981 to:

Grants Office/COMP
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506

1. **Three** copies of Individual Grant Application Form NEA-2 (Rev.). One copy must be the typed, signed original. Two blank forms start on page 29 of this booklet.

In Section 10. of the form ("Description of proposed activity"), describe the project you plan to undertake during the fellowship period.

- If you propose to create or complete a work, indicate the length, medium, and performing forces that will be required.
- If you request support for a work commissioned by another organization, indicate any fee you are receiving from that organization.
- Note any agreements you may have made to publish your work or have it performed.
- If you are requesting support for research, describe the purpose, subject, and location of the proposed research. Also indicate whether you will conduct the research independently or under the auspices of an organization.

Section 11. ("Career summary or background") should be directly related to the activity for which support is requested.

Also review the "Special Application Requirements" for your category for information to be included on the form. Additional sheets may be attached to the application form if necessary.

2. The application acknowledgment and other cards which appear inside the back cover of these guidelines.
3. A statement telling us whether you have applied for other grants that might be received for the same time as an Arts Endowment fellowship.
4. A final report on any completed Arts Endowment fellowship, if not previously submitted, or an interim report on any Endowment fellowship you may have at the time of application.
5. For projects that use material not in the public domain, submit evidence that you have obtained the rights to use the material.
6. For projects requiring the use of an electronic or experimental facility, submit a letter from an official at the facility which authorizes you to use it.
7. Sample of work (see instructions below).

It is your responsibility to insure that sufficient information on your background and previous work is submitted for review. Failure to submit all required materials by the deadline may result in the rejection of an application.

We urge you to keep copies of all materials sent to the Endowment. Samples of work submitted will be returned by regular mail after the application review is completed. The Endowment cannot accept responsibility for loss or damage.

If new information which might affect your application becomes available after submission of the application, please mail the new material with an explanatory note directly to the Music Program.

Although you are required to send only one sample of your work, we encourage you to send more than one. When choosing materials to send, keep the following in mind:

- Send samples that will demonstrate your ability to undertake the project or activity for which you are requesting support.
- Send samples of recent works.
- If you are a composer, send at least one recording of your work. If the recorded work has a notated score, be sure to send the score also.
- If you are requesting support to continue a work in progress, send the completed portion.

In addition for opera-musical theater projects, send:

- A synopsis of the proposed work.
- A short sample of the libretto for which support is requested.
- A sample of the libretto set to music, if any.

Format for Submission:

Label each work with your name and address, the date of composition, and the title of the work.

The Endowment will consider materials in the following formats:

- Score.
- Libretto.
- Synopsis.
- Disc.
- Cassette, with no more than one work recorded on each side.
- Reel-to-reel tape, in a tape box, 7" reel, 7½ speed, quarter track, leader between works if there is more than one, ready to be played on reel, heads out. Do not submit tape tails out.
- Film sample in 16 mm or Super 8. If necessary, film can be screened in double system.
- Video tape in ½" open reel or ¾" cassette.

Taxability of Fellowships

The Internal Revenue Code provides that certain fellowships to individuals who are not candidates for degrees are tax deductible, but only up to a certain amount and for a limited period of time. The Endowment cannot advise you about the deductibility of all or any portion of a fellowship, should one be awarded to you. Advice should be obtained from your own tax counselor or local Internal Revenue Service office.

A pamphlet entitled "Tax Information for American Scholars in the U.S. and Abroad" is generally available at any Internal Revenue Service office. This booklet might be helpful in preparing an application for a fellowship.

Consortium Commissioning

On a pilot basis, a limited number of grants will be available to consortia of performing organizations for the commissioning of new American works. This category is designed to provide opportunities for American composers and to insure that works created will be heard.

Eligibility

A consortium must have at least three members. Consortia may be made up of chamber and/or new music ensembles, orchestras, jazz ensembles, and choruses. On rare occasions, organizations whose primary purpose is the presentation of experimental or avant garde material may also be eligible.

All consortium members must be eligible under existing Music Program guidelines. As the Endowment is particularly interested in insuring that commissioned works be widely heard, advisory panelists will look closely at the geographic areas represented by consortium members in their home base and, where relevant, on tour.

The Endowment encourages each consortium to apply for a minimum of three commissions by three different composers. Each consortium member should perform each commissioned work at least twice. Participating composers must be American citizens or permanent residents of the United States.

Grant Amounts

While grants go directly to the consortium, all Endowment funds must, in turn, be passed on to the participating composers. Each consortium may apply for funds ranging between \$4,000 and \$8,000 *per composer* commissioned.

Grants may be made on a non-matching basis. Limited funds, however, may make it necessary for the Endowment to provide less than the amount requested. In such cases, it is hoped that matching funds will be found to carry out the full project as presented.

Review Criteria

In reviewing applications and determining grant amounts, advisory panelists consider the following factors:

- The talent and accomplishment of each participating composer.
- The number and scope of the proposed commissions.
- The artistic quality of consortium members.
- The geographical areas in which the commissioned works will be performed.

How to Apply/Consortium Commissioning

All interested groups must contact the Music Program/Composer Program Specialist (202/634-6390) before applying.

One member of the consortium must apply on behalf of all participants. This member should send the materials outlined below *in one package* to:

Grants Office/COMP
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506

All materials should be typed; copies must be clearly readable. All information should be on 8½" x 11" pages. Please submit materials in the order shown below. Be sure to keep copies for your records.

1. Three copies of Organization Grant Application Form NEA-3 (Rev.). One copy must be the typed, signed original. Instructions on completing this form start on page 21.

In section IV of the application form (Project Summary), the applicant should outline clearly: a) all consortium members; b) the composers who are to be commissioned, and for each commission, the length, medium, and performing forces that will be required; and c) a proposed timeframe for the commissioning and performance of each new work. Please indicate any plans for the performance of the new works in locations other than the consortium members' home bases. Up to two additional sheets may be attached to the application form, if necessary.

2. A budget detailing the distribution of Endowment funds. Keep in mind that all Endowment funds should go to the composers. All funds may go directly from the applicant organization to participating composers on behalf of the consortium as a whole. Or, the applicant organization may distribute funds to each consortium member, each of whom would then pass the funds on to one or more composers.
3. Confirming statements from all consortium members. These statements must reflect agreement on all items specified in section IV of the application form and on the budget for the distribution of Endowment funds.
4. Statements of interest from each composer to be commissioned. These statements *must accompany* the application form and all other required application materials.
5. A score *and* tape or recording of a work by each composer to be commissioned. See instructions on submitting work below.
6. For each consortium member who is not a current grantee of the Music Program, a tape or recording of a recent performance. See instructions on submitting work below.
7. A copy of the Internal Revenue Service determination letter for tax-exempt status or of the official document identifying the applicant as a unit of state or local government.
8. The Assurance of Compliance Form on page 27. (NOTE: While only the applicant organization need submit Items 7. and 8., all consortium members must meet the legal requirements outlined on page 19.)
9. The application acknowledgment card which appears inside the back cover of these guidelines.

We urge you to keep copies of all materials sent to the Endowment. Samples of work submitted will be returned by regular mail after the application review is completed. The Endowment cannot accept responsibility for loss or damage.

If new information which might affect your application becomes available after submission of the application, please mail the new material with an explanatory note directly to the Music Program.

Sample of Work

Label each work with the applicant's name and address, the composer's name, the date of composition, and the title of the work.

The Endowment will consider materials in the following formats:

- Score.
- Disc.
- Cassette, with no more than one work recorded on each side.
- Reel-to-reel tape, in a tape box, 7" reel, 7½ speed, quarter track, leader between works if there is more than one, ready to be played on reel, heads out. Do not submit tape tails out.

Final Reports

It will be the responsibility of the applicant to submit the final report on behalf of the consortium. Final reports on commissioning projects must include:

- A narrative describing the results of the commissioning project and specifying the dates and locations of each performance.
- A score and, where possible, a recording (tape or disc) of each commissioned work.
- Plans for the future performance, publication, or recording of each commissioned work.

These reports will be reviewed by the Arts Endowment and sent to the Composer/Librettist Program Collection at the American Music Center.

Centers for New Music Resources

Grants are available to centers for new music resources, including electronic music studios, computer centers, and other innovative facilities. Through support of these facilities, the Endowment hopes to:

- Make available to composers new musical resources too extensive for individuals to develop and maintain.
- Encourage collaboration between composers and other creative artists.

Eligibility

Centers may be independent or affiliated with another organization such as a municipal, state, or regional agency, museum, or university. All applicants must meet the legal requirements on page 19.

Grant Amounts

Grants in this category generally range between \$2,000 and \$20,000. The Endowment recognizes that the needs of these centers vary widely and urges applicants to be realistic in their requests.

Review Criteria

In reviewing applications, advisory panelists consider the following factors:

- Artistic quality.
- Accessibility to a broad range of composers.
- Administrative stability and fiscal responsibility.
- Local and other nonfederal support.
- Merit and scope of the project.
- Appropriateness of requested equipment for the center.

How to Apply/Centers for New Music Resources

Please send the materials outlined below *in one package* to:

Grants Office/COMP
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506

All materials should be typed; copies must be clearly readable. All information should be on 8½" × 11" pages. Please submit materials in the order shown below. Be sure to keep copies for your records.

If the center is part of a larger organization such as a university, all application information and materials should refer to the center itself.

1. Three copies of Organization Grant Application Form NEA-3 (Rev.). One copy must be the typed, signed original. Instructions on completing this form start on page 21.
 2. A copy of the Internal Revenue Service determination letter for tax-exempt status or of the official document identifying the applicant as a unit of state or local government. This letter must be submitted with each application.
 3. Two copies of a financial statement for the most recently completed fiscal period. An unaudited financial statement is acceptable if an audited statement is not available, but the audited financial statement must be forwarded when available.
 4. Two copies of a total operating budget detailing estimated income and expenses for 1981-82 and 1982-83.
 5. Two copies of a brief history of the organization.
 6. Two copies each of biographical sketches of the chief participants in the proposed project. This information should document these individuals' experience and ability in this field.
-

7. A list of grants you have received from the Arts Endowment since fiscal year 1979 and a list of any applications currently pending in other Endowment programs.
8. The Assurance of Compliance Form on page 27. All applicants must submit a completed form whether or not one has been submitted previously.
9. Three copies of the final report on any completed Arts Endowment grant, if not previously submitted, or one copy of an interim report on any Endowment grant you may have at the time of application.
10. The application acknowledgment card which appears inside the back cover of these guidelines.
11. If your application includes a request to purchase equipment, also submit a detailed equipment budget. Indicate what new equipment is to be purchased, what equipment is being replaced, and when it was purchased.

If new information which might affect your application becomes available after submission of the application, please mail the new material with an explanatory note directly to the Music Program.

Services to Composers

A limited number of grants are available to organizations for projects that serve composers. Grants in this category may be used to support newsletters, workshops, seminars, administrative personnel, technical assistance, and other similar activities. Grants may not be used to help purchase equipment.

Eligibility

Organizations must serve composers on a national or regional basis and meet the legal requirements on page 19.

Grant Amounts

There are no minimum or maximum grant amounts. The nature, scope, and importance of the proposed project and the availability of funds determine grant amounts.

Review Criteria

In reviewing applications, advisory panelists consider the following factors:

- Merit of the project and the applicant's ability to carry it out.
- Applicant's record of service to composers on a national or regional basis.
- Administrative stability and fiscal responsibility.
- Local and other nonfederal support.

How to Apply/Services to Composers

Please send the materials outlined below *in one package* to:

Grants Office/COMP
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506

All materials should be typed; copies must be clearly readable. All information should be on 8½" x 11" pages. Please submit materials in the order shown below. Be sure to keep copies for your records.

1. Three copies of Organization Grant Application Form NEA-3 (Rev.). One copy must be the typed, signed original. Instructions on completing this form start on page 21.
 2. A copy of the Internal Revenue Service determination letter for tax-exempt status or of the official document identifying the applicant as a unit of state or local government. This letter must be submitted with each application.
 3. Two copies of a financial statement for the most recently completed fiscal period. An unaudited financial statement is acceptable if an audited statement is not available, but the audited financial statement must be forwarded when available.
 4. Two copies of a total operating budget detailing estimated income and expenses for 1981-82 and 1982-83. Be sure to include the dates of your fiscal year in this material.
 5. A list of board members.
 6. Two copies of a brief narrative including: a) history of the organization; b) purposes; c) membership profile; d) scope of services rendered, including geographical distribution.
 7. Two copies of more specific information on the programs and services planned for the grant period. This material should address: a) why these activities are needed; b) how they relate to the organization's purposes; and c) for workshops, what topics will be covered and who will attend. If you are requesting support for a new project, note how it is to be evaluated. If the proposed project is a "model," indicate plans for the dissemination of results.
-

8. Two copies each of biographical sketches of the chief participants in the proposed project.
9. A list of grants you have received from the Arts Endowment since fiscal year 1979 and a list of any applications currently pending in other Endowment programs.
10. The Assurance of Compliance Form on page 27. All applicants must submit a completed form whether or not one has been submitted previously.
11. Three copies of the final report on any completed Arts Endowment grant, if not previously submitted, or one copy of an interim report on any Endowment grant you may have at the time of application.
12. The application acknowledgment card which appears inside the back cover of these guidelines.

If new information which might affect your application becomes available after submission of the application, please mail the new material with an explanatory note directly to the Music Program.

Other Endowment Programs of Interest

Overall information about the Endowment and its programs is contained in the Endowment's *Guide to Programs* which is available from:

Information Office
National Endowment for the Arts
7th Floor, West Wing
2401 E Street, N.W.
Washington, D.C. 20506

Those programs which may be of particular interest to individuals involved in the music field are described briefly below.

Music

The Arts Endowment's Music Program offers assistance in a number of areas in addition to the Composers Program. For information and guidelines on any of the categories outlined below, contact:

Music Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-6390

The *Jazz* Program assists jazz composers and performers, and groups that perform or present jazz.

The *New Music Performance* Program supports organizations that perform or present 20th century music.

The *Chamber Music* Program assists organizations that perform or present chamber music.

The *Chorus* Program offers assistance to professional, orchestra, community, college, university, and conservatory choruses.

The *Orchestra* Program supports symphony and chamber orchestras.

The *Music Festivals* Program assists music festivals whose programs involve two or more music areas (including opera) for which Arts Endowment guidelines exist.

The *Music Professional Training* Program assists post-secondary programs which provide outstanding training leading to professional careers in music.

The *Music Recording* Program assists non-profit organizations with the recording and distribution of American music.

Opera-Musical Theater

The Opera-Musical Theater Program offers assistance to opera companies and other groups producing opera-musical theater for these purposes: to sustain and improve their artistic quality; to create, develop, and produce new American works; to reach larger, more diversified audiences; to broaden their repertoires; to provide professional opportunities for American artists; and to strengthen their management.

Of particular interest to composers is the "New American Works" category. This category is designed to help professional, producing organizations with:

- The creation, completion, or adaptation of new American works through commissions to creative artists.
- The development of new or seldom produced contemporary American works in laboratory or workshop production.

(Continued on next page)

- The rehearsal and original production of new or seldom produced contemporary American works.

For information, contact:

Opera-Musical Theater Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-7144

Media Arts: Film/Radio/Television

The Media Arts Program offers assistance to individuals and nonprofit organizations involved in film, video, radio, and television. Among those organizations assisted are a number of media arts centers which provide regional access to exhibition and production equipment and facilities as well as other media resources. For information, contact:

Media Arts Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-6300

Dance

The Dance Program offers assistance to individuals and nonprofit organizations involved in dance. Individual choreographers are assisted through direct fellowships and through grants to professional dance companies. For information, contact:

Dance Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-6383

Visual Arts

The Visual Arts Program offers assistance for collaborative projects involving visual artists working with their professional colleagues within or across disciplines. For information, contact:

Visual Arts Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-1566

Challenge Grants

Challenge Grants are designed to help cultural organizations broaden the base and increase the level of continuing support from nonfederal sources. These grants are available to institutions or groups of institutions that have shown a commitment to aesthetic excellence. Most recipients of Challenge Grants will be institutions eligible for funding in other Arts Endowment programs. Organizations receiving Challenge Grants must match every federal dollar with at least three dollars from other sources. Matching funds must be from new sources or represent increased giving from former donors. For information, contact:

Challenge Grants
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/632-4783

International Exchange Fellowships

Five fellowships for work and study in Japan are awarded each year to American artists in various disciplines. Exchange programs with other countries may be established in the future. Fellowships are awarded to outstanding mid-career practicing artists who show promise of becoming leaders in their field. They cover six- to nine-month residencies in the foreign country. For information, contact:

International Arts Activities
National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
202/634-6380

Application Information for Organizations

Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- Are tax-exempt.¹ Organizations qualifying for this status must meet the following criteria:
 - (1) No part of net earnings may benefit a private stockholder or individual;
 - (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended. A copy of the IRS determination letter for tax-exempt status or of the official document identifying the applicant organization as a unit of either state or local government must be submitted with each application.
- Comply with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and, where applicable, Title IX of the Education Amendments of 1972. Title VI and Section 504 bar discrimination on the basis of race, color, national origin, or personal handicap in federally assisted projects. Title IX prohibits discrimination on the basis of sex in federally assisted education programs and activities. You must file an "Assurance of Compliance" form with the Grants Office of the National Endowment for the Arts. A form is provided at the back of these guidelines.
- Pay prevailing wages. Organizations must comply with parts 3, 5, and 505 of Title 29 of the Code of Federal Regulations, which specifies that organizations must compensate all professional personnel, laborers, and mechanics on Arts Endowment supported projects in accordance with applicable labor standards as recognized by the appropriate union.

¹ Generally speaking, in American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands, U.S. tax laws have an application similar to that in the United States. However, in the Commonwealth of Puerto Rico, owing to special income exemptions, the application differs. Nevertheless, in all these areas arts organizations should be aware of their need to obtain tax-exempt status in order to qualify for Endowment support. Applications and inquiries concerning this matter may be made to the Internal Revenue Service's Exempt Organization Office, 31 Hopkins Plaza, Baltimore, Maryland 21201; telephone: 301/762-2590

To Help Us Gather Information

In connection with Title VI of the Civil Rights Act of 1964,¹ the National Endowment for the Arts is seeking pertinent information and thoughtful advice concerning minority² participation in the arts. As part of this effort, we are requesting information from applicant organizations regarding minority involvement at the artistic, administrative, board, and audience/participant level. Specifically, we would be interested in learning about the racial and ethnic composition of communities served by your organization, special programs and services provided to those communities, and the present or proposed membership in any planning or advisory body connected with your organization. In addition, we welcome any ideas or suggestions which might assist efforts to strengthen and expand minority participation in the arts at all levels.

¹ Title VI provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

² "Minority" here includes American Indian or Alaskan Native; Asian or Pacific Islander; Black, not of Hispanic origin; Hispanic; other ethnic groups.

Methods of Funding

Program Funds

Two types of grant funds are available to organizations applying under these guidelines: Program funds and Treasury Fund monies. They are both explained below.

Program fund grants to organizations usually must be matched at least dollar-for-dollar by nonfederal funds. Applicants must show (in Section X of the Organization Grant Application Form) that at least half the cost of the project will be met by the applicant. Anticipated sources of matching funds must be identified. Budgeted funds, as well as newly raised funds, generally may be used to match the Endowment grant.

Treasury Fund Grants

Treasury Fund grants usually must be matched with at least three nonfederal dollars for each federal dollar. They are not available for projects or amounts of federal money different from those specified in the regular guidelines for each program.

Organizations receiving Treasury Fund grants, which help applicants generate or sustain nonfederal contributions, must be eligible under the guidelines of the appropriate program and must submit an application which goes through the same procedures as those for program fund grants. The applicant must also secure a pledge from a donor to make a donation to the Endowment, restricted for use by the applicant organization. If the applicant is awarded a grant, this gift releases an equal amount from the Treasury Fund to be given to the grantee. Thus, the total official Endowment grant is made up of one-half Treasury Fund monies and one-half restricted gift. This total grant must in turn be matched again by the grantee, from earned or contributed income.

For example:

Donor's restricted gift to Endowment	\$20,000
Amount released from Treasury Fund	+ 20,000
<hr/>	
Total Endowment grant	\$40,000
Matching funds identified on application	+ 40,000
<hr/>	
Minimum total cost of project	\$80,000

Organizations interested in applying for a Treasury Fund grant are urged to contact the Music Program before applying.

I. Applicant organization. The name as provided here must be identical to that in the IRS determination letter for tax-exempt status or in the official document identifying the organization as a unit or either state or local government.

II. Category under which support is requested. Please indicate the appropriate category by checking one of the following:

Centers for New Music Resources
Services to Composers

III. Period of support requested is the span of time necessary to plan, execute, and close out the proposed project. Generally the Endowment limits its financial participation in any project to 12 months or less.

IV. Summary of project. Specify clearly how the requested funds will be spent. If more space is needed, summarize the entire project on the application form and give detailed information on additional sheets.

If the applicant develops a multi-purpose application, each project must be numbered separately with its own budget. For example, if the application contains three projects numbered 1, 2, and 3, all items in the budget must also be numbered 1, 2, and 3 to correspond with the appropriate project description. Budget detail for the individual projects must correspond with the categories on the application, such as salaries and wages, fringe benefits, supplies, etc.

V. Estimated number of persons expected to benefit from this project is the total audience members, participants, students, or other (excluding employees and performers) who are anticipated to benefit directly.

VI. Summary of estimated costs is a recapitulation of direct costs and indirect costs as shown on the second and third pages of the application form. See instruction IX for further explanation.

VII. Total amount requested from the National Endowment for the Arts. The amount requested should be rounded to the nearest \$10. As these are matching grants, the amount shown here should not be more than 50% of the Total Project Costs in Section VI. If you are applying for a Treasury Fund grant, the amount shown must include restricted gifts contributed to the Endowment.

VIII. Organization total fiscal activity.

A. Expenses should include Arts Endowment projects funded and anticipated.

B. Revenues, grants, & contributions should include Endowment grants received and anticipated.

IX. Budget breakdown of summary of estimated costs.

A. Direct costs are those which can be specifically identified with the project.

1. Salaries and wages must be estimated at rates not lower than the prevailing minimum compensation as set out in the Code of Federal Regulations. Copies will be sent on request. Fringe benefits may be included here only if not included as indirect costs.

2. Supplies and materials include consumable supplies, raw materials for the fabrication of project items, and items costing less than \$300 or with an estimated useful life of less than one year.

**Instructions for Completing
Organization Grant Application
Form NEA-3 (Rev.), continued**

- IX.**
- 3. Travel** must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and all travelers use transportation costing no more than air coach accommodations. This program generally does not fund foreign travel.
 - 4. Permanent equipment** includes purchased equipment costing over \$300 with an estimated useful life of one year or more. Written justification should include a brief description of the items. The Endowment has a general policy against support of capital improvements and major construction. Equipment purchase is not eligible under the Services category.
 - 5. Fees for services and other expenses** includes consultant and artist fees, honoraria, contractual services, rental of space or equipment, xeroxing, telephone, postage, and transportation of items other than personnel. With consultant and artist fees, honoraria, or contracts for personal or professional services, please specify number of persons and applicable fee, rate, or amount of each. Do not include entertainment, fines and penalties, bad debt costs, contingencies, or costs incurred before the beginning of the official grant period.
- B. Indirect costs** are those costs incurred for common or joint objectives and not readily assignable to specific activities. They may be computed by the application of an indirect cost rate established as a result of negotiation with the National Endowment for the Arts Audit Office, 2401 E Street, N.W., Washington, D.C. 20506 or another federal agency.
- X. Contributions, grants, and revenues.** The Arts Endowment generally requires each applicant to obtain at least half the total cost of each project from nonfederal sources. Specify all sources of matching funds.
- A. Contributions:**
- 1. Cash** donations anticipated for this project, except direct donations to the Endowment, and
 - 2. In-kind contributions** at the fair-market value of essential items that are wholly or partially consumed on the project. In-kind contributions must also be reflected in the total project cost. In-kind contributions may not exceed 25 percent of the total project cost.
- B. Grants** include all or a pro rata share of anticipated grants either wholly or partially restricted for use on this project. (Do not include the grant requested by this application.) A grant is generally characterized by written authority to spend up to a specified amount of money for a specified purpose.
- C. Revenues** include all other funds, regardless of source, expected to be used on this project.
- XI. State Arts Agency notification** urges each applicant to advise his or her state arts agency that this application is being made.
- XII. Certification** must be signed by an official of the applicant organization with authority to legally obligate the organization.

Music/
Composers

Organization Grant Application Form NEA-3 (Rev.)

Applications must be submitted in triplicate and mailed to: Grants Office/COMP,
National Endowment for the Arts, 2401 E Street, N.W., Washington, D.C. 20506

I. Applicant Organization (name, address, zip)

II. Category under which support is requested:

- Consortium Commissioning
- Centers for New Music Resources
- Services to Composers

III. Period of support requested:

Starting _____
 month day year

Ending _____
 month day year

IV. Summary of project description

V. Estimated number of persons expected to benefit from this project

VI. Summary of estimated costs (recapitulation of budget items in Section IX)

		Total costs of project (rounded to nearest ten dollars)	
A. Direct costs			\$ _____
Salaries and wages	_____		
Fringe benefits	_____		
Supplies and materials	_____		
Travel	_____		
Permanent equipment	_____		
Fees and other	_____		
	Total direct costs		\$ _____
B. Indirect costs	_____		\$ _____
	Total project costs		\$ _____

VII. Total amount requested from the National Endowment for the Arts

\$ _____

VIII. Organization total fiscal activity

1979-80

Est. 1980-81

A. Expenses	1. \$ _____	2. \$ _____
B. Revenues, grants, & contributions	1. \$ _____	2. \$ _____

Do not write in this space

IX. Budget breakdown of summary of estimated costs

A. Direct costs

1. Salaries and wages

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
				\$
Total salaries and wages				\$ _____
Add fringe benefits				\$ _____
Total salaries and wages including fringe benefits				\$ _____

2. Supplies and materials (list each major type separately)

	Amount	
\$		
Total supplies and materials		\$ _____

3. Travel

Transportation of personnel				Amount
No. of travelers	from	to		\$
Total transportation of personnel				\$ _____

Subsistence

No. of travelers	No. of days	Daily rate	\$
Total subsistence			\$ _____
Total travel			\$ _____

IX. Budget breakdown of summary of estimated costs (continued)

3

4. Permanent equipment (list each item separately)

Amount

	\$
Total permanent equipment	\$ _____

5. Fees for services and other expenses (list each item separately)

Amount

	\$
Total fees for services and other expenses	\$ _____

B. Indirect costs

Rate established by attached rate negotiation agreement with National Endowment for the Arts or another Federal agency

Amount

Rate _____ % Base \$ _____ \$ _____

X. Contributions, grants, and revenues (for this project)

A. Contributions

1. Cash (do not include direct donations to the Arts Endowment)

Amount

	\$

2. In-kind contributions (list each major item)

Total contributions \$ _____

B. Grants (do not list anticipated grant from the Arts Endowment)

Amount

	\$

Total grants \$ _____

C. Revenues

Amount

	\$

Total revenues \$ _____

Total contributions, grants, and revenues for this project \$ _____

XI. State Arts Agency notification

The National Endowment for the Arts urges you to inform your State Arts Agency of the fact that you are submitting this application.

Have you done so? _____ Yes _____ No

XII. Certification

We certify that the information contained in this application, including all attachments and supporting materials, is true and correct to the best of our knowledge.

Authorizing official(s)

Signature x _____ Date signed _____
Name (print or type) _____
Title (print or type) _____
Telephone (area code) _____

Signature x _____ Date signed _____
Name (print or type) _____
Title (print or type) _____
Telephone (area code) _____

Project director

Signature x _____ Date signed _____
Name (print or type) _____
Title (print or type) _____
Telephone (area code) _____

*Payee (to whom grant payments will be sent if other than authorizing official)

Signature x _____ Date signed _____
Name (print or type) _____
Title (print or type) _____
Telephone (area code) _____

*If payment is to be made to anyone other than the grantee, it is understood that the grantee is financially, administratively, and programmatically responsible for all aspects of the grant and all reports must be submitted through the grantee.

BE SURE TO CHECK THE "HOW TO APPLY" SECTION FOR YOUR CATEGORY FOR ALL MATERIALS TO BE INCLUDED IN YOUR APPLICATION PACKAGE.

Privacy Act

The Privacy Act of 1974 requires us to furnish you with the following information:
The Endowment is authorized to solicit the requested information by Section 5 of the National Foundation on the Arts and the Humanities Act of 1965, as amended. The information is used for grant processing, statistical research, analysis of trends, and for congressional oversight hearings. Failure to provide the requested information could result in rejection of your application.

Assurance of Compliance with National Endowment for the Arts Regulations
under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act
of 1973, and Title IX of the Education Amendments of 1972

_____ (hereafter called the "Applicant")
Hereby Agrees that it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and, where applicable, Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.) and all regulations of the National Endowment for the Arts issued pursuant to these statutes. Title VI, Section 504, and Title IX prohibit discrimination on the basis of race, color, national origin, handicap, or sex in any program or activity receiving Endowment support. The Applicant **Hereby Gives Assurance** that it immediately will take any measures necessary to comply.

This assurance shall obligate the Applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this assurance shall obligate the Applicant or any transferee for as long as the property or structure is used for the grant or similar purposes.

This assurance is given in connection with any and all financial assistance from the Endowment after the date this form is signed. This includes payments after such date for financial assistance approved before such date. The Applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears below.

Applicant

Applicant's mailing address

By (President, Chairman of the Board, or comparable authorized official)

Dated

Assurance Explanation

Title VI of the Civil Rights Act of 1964 provides that no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity receiving federal financial assistance. Section 504 of the Rehabilitation Act of 1973 provides for nondiscrimination in federally assisted programs on the basis of handicap. Subject to certain exceptions, Title IX of the Education Amendments of 1972 prohibits the exclusion of persons on the basis of sex from any education program or activity receiving federal financial assistance.

As a condition to approval of a grant, Arts Endowment regulations require all organizational applicants to execute the "Assurance of Compliance" form, whether or not a comparable form has been filed with another agency.

The Applicant referred to in the form is the organization itself, whose chief executive officer or comparable official should sign. The name and title of the organization and of the official should be typed on the form. The signed original should be returned with other required materials to the Arts Endowment's Grants Office. It should be noted that signing this form indicates a commitment to comply with the three statutes referred to herein.



National Endowment for the Arts
2401 E Street, N.W.
Washington, D.C. 20506
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